

1305 RECEIVED 29 MAR 2002

Form PTO-1390 (REV 12-2001)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 2068.0030000	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (IF KNOWN, SEE 37 C.F.R. § 1.5) To be assigned <b>10/089517</b>	
INTERNATIONAL APPLICATION NO PCT/NZ00/001891		INTERNATIONAL FILING DATE September 29, 2000		PRIORITY DATE CLAIMED September 29, 1999	
TITLE OF INVENTION Improvements Relating to EER Transmitters					
APPLICANT(S) FOR DO/EO/US Stephen Ian Mann					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>a. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>3. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).</p> <p>4. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>5. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>a. <input type="checkbox"/> is attached hereto.</p> <p>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>6. <input checked="" type="checkbox"/> Amendments to the claims of the International application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>7. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 372(c)(3)).</p> <p>8. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>9. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p>					
Items 11 to 20 below concern other document(s) or information included:					
<p>10. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.</p> <p>11. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.</p> <p>12. <input type="checkbox"/> A FIRST preliminary amendment.</p> <p>13. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>16. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</p> <p>17. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>18. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input checked="" type="checkbox"/> Other items or information: a. International Preliminary Examination Report with Annexes; b. Application Data Sheet; c. Authorization to Treat a Reply as Incorporating an Extension of Time under 37 C.F.R. § 1.136(a)(3); d. Two return postcards.</p>					





ATTORNEYS AT LAW



5000

DT17 Rec'd PCT/PTO 23 JUL 2002

Robert Greene Sterne  
Edward J. Kessler  
Jorge A. Goldstein  
David K.S. Cornwell  
Robert W. Esmond  
Tracy-Gene G. Durkin  
Michele A. Cimbala  
Michael B. Ray  
Robert E. Sokohl  
Eric K. Steffe  
Michael Q. Lee  
Steven R. Ludwig  
John M. Covert  
Linda E. Alcorn  
Robert C. Millonig  
Lawrence B. Bugaisky  
Donald J. Featherstone  
Michael V. Messinger

Judith U. Kim  
Timothy J. Shea, Jr.  
Patrick E. Garrett  
Jeffery I. Hevey  
Heidi L. Kraus  
Crystal D. Sayles  
Edward W. Yee  
Albert L. Ferro  
Donald R. Banowitz  
Peter A. Jackman  
Molly A. McCall  
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Vincent L. Capuano  
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Frank R. Cottingham  
Christine M. Lhulier  
Rae Lynn Prengaman  
Jane Shershenovich  
Lawrence J. Carroll  
George S. Bardmesser

Registered Patent Agents\*  
Karen R. Markowitz  
Andrea J. Kamage  
Nancy J. Leith  
Joseph M. Conrad III  
Ann E. Summerfield  
Helene C. Carlson  
Gaby L. Longworth  
Matthew J. Dowd  
Aaron L. Schwartz  
Angelique G. Uy  
Boris A. Matvenko  
Mary B. Tung  
Katrina Y. Pei  
Bryan L. Skelton  
Jason D. Eisenberg  
John J. Figueroa

Senior Counsel  
Samuel L. Fox  
Kenneth C. Bass III  
Lisa A. Dunner

\*Admitted only in Maryland  
\*Admitted only in Virginia  
\*Admitted only in Texas  
•Practice limited to  
Federal Agencies

July 23, 2002

WRITER'S DIRECT NUMBER:

(202) 371-2629

INTERNET ADDRESS:

DONF@SKGF.COM

Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Utility Patent Application  
U.S. Appl. No. 10/089,517 (unofficial) (which is the U.S. National Stage of PCT  
Appl. No. PCT/NZ00/00189, I.A. Filed: September 29, 2000)  
For: **Improvements Relating to EER Transmitters**  
Inventor: Stephen Ian Mann  
Our Ref: 2068.0030000

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Preliminary Amendment; and
2. Return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Donald J. Featherstone  
Attorney for Applicant  
Registration No. 33,876

DJF/mmb

Sterne, Kessler, Goldstein & Fox P.L.L.C. : 1100 New York Avenue, NW : Washington, DC 20005 : 202.371.2600 f 202.371.2540 : [www.skgf.com](http://www.skgf.com)

INVENTOR INFORMATION

10089517 10705517

JC13 Rec'd PCT/PTO 29 MAR 2002

Inventor One Given Name:: Stephen I  
Family Name:: Mann  
Postal Address Line One:: c/o Tait Electronics Limited  
Postal Address Line Two:: 558 Wairakei Road, Burnside  
City:: Christchurch  
Country:: New Zealand  
City of Residence:: Christchurch  
Country of Residence:: New Zealand  
Citizenship Country:: New Zealand

CORRESPONDENCE INFORMATION

Correspondence Customer Number:: 26111  
Fax One:: (202) 371-2540

APPLICATION INFORMATION

Title Line One:: Improvements Relating to EER Transmitter  
Title Line Two:: s  
Total Drawing Sheets:: 9  
Formal Drawings?: Yes  
Application Type:: Utility  
Docket Number:: 2068.0030000  
Secrecy Order in Parent Appl.?: No

REPRESENTATIVE INFORMATION

Representative Customer Number:: 28393

CONTINUITY INFORMATION

This application is a:: 371 OF  
> Application One:: PCT/NZ00/00189  
Filing Date:: 09-29-2000

PRIOR FOREIGN APPLICATIONS

Foreign Application One:: 338097  
Filing Date:: 09-29-1999  
Country:: New Zealand  
Priority Claimed:: Yes

Source:: PrintEFS Version 1.0.1



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Stephen Ian Mann

Appl. No.: 10/089,517 (unofficial)

U.S. National Stage of: PCT/NZ00/00189

I.A. Filed: September 29, 2000

For: **Improvements Relating to EER  
Transmitters**

Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 2068.0030000

**Preliminary Amendment**Commissioner for Patents  
Washington, D.C. 20231

Sir:

Prior to examination of the above-captioned application, Applicants submit the following Amendment and Remarks. This Amendment is provided in the following format:

- (A) A clean version of each replacement paragraph/section/claim along with clear instructions for entry;
- (B) Starting on a separate page, appropriate remarks and arguments. 37 C.F.R. § 1.111 and MPEP 714; and
- (C) Starting on a separate page, a marked-up version entitled: “Version with markings to show changes made.”

It is not believed that extensions of time or fees for net addition of claims are required beyond those that may otherwise be provided for in documents accompanying this paper. However, if additional extensions of time are necessary to prevent abandonment of this application, then such extensions of time are hereby petitioned under 37 C.F.R. § 1.136(a), and any fees required therefor (including fees for net addition of claims) are hereby authorized to be charged to our Deposit Account No. 19-0036.

***Amendments******In the Claims:***

Please add the following new claims 9-14:

9. (New) An amplification system for a radio transmitter comprising:

a digital processing subsystem which determines envelope information and phase information from a baseband input signal;

a phase modulator which generates a substantially constant amplitude radio frequency (RF) signal having phase determined by the phase information;

an envelope modulator which generates an amplitude modulation signal determined by the envelope information;

an amplifier which generates an RF output signal from the constant amplitude signal and the amplitude modulation signal; and

a Cartesian feedback path from the output of the amplifier to the digital processing subsystem.

10. (New) A system according to claim 9, wherein:

the digital processing subsystem varies at least one of the phase information and the envelope information according to the Cartesian feedback.

11. (New) A system according to claim 9, wherein:

the digital processing subsystem predistorts at least one of phase modulation and envelope modulation of the output signal according to the Cartesian feedback.

12. (New) An amplification system for a radio transmitter comprising:

a digital processing subsystem which determines envelope information and phase information from a baseband input signal;

a phase modulator which generates a substantially constant amplitude radio frequency (RF) signal having phase determined by the phase information;

an envelope modulator which generates an amplitude modulation signal determined by the envelope information;

an amplifier which generates an RF output signal from the constant amplitude signal and the amplitude modulation signal; and

a predistorter in the digital processing system that distorts at least one of the phase information and the envelope information according to feedback from the output of the amplifier.

13. (New) A system according to claim 12, wherein:

the predistorter is coupled to the phase modulator and/or the envelope modulator.

14. (New) A system according to claim 12, wherein:

the feedback includes inphase and quadrature components derived from the output of the amplifier.

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Stephen Ian Mann  
Appl. No.: 10/089,517**Remarks**

Entry of the foregoing Preliminary Amendment into the above-identified application, prior to examination thereof, is respectfully requested.

Upon entry of the foregoing Amendment, claims 1-14 are pending, with claims 1, 9 and 14 being the independent claims. Claims 9-14 are sought to be added. These changes are believed to introduce no new matter.

The Examiner is invited to telephone the undersigned representative if an interview is believed to be useful for any reason.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Donald J. Featherstone  
Attorney for Applicant  
Registration No. 33,876

Date: 7/23/02.

1100 New York Avenue, N.W.  
Suite 600  
Washington, D.C. 20005-3934  
(202) 371-2600  
DJF/mmb  
SKGF\_DC1:28527.1

SKGF Rev. 2/13/01



- 5 -

Stephen Ian Mann  
Appl. No.: 10/089,517

**Version with markings to show changes made**

Claims 9-14 have been added.

- 1 -

IMPROVEMENTS RELATING TO EER TRANSMITTERS

## FIELD OF THE INVENTION

5 This invention relates to amplification systems for radio frequency signals and in particular but not solely to envelope elimination and restoration (EER) techniques for radio transmitters. More specifically the invention relates to feedback, and phase or envelope modulation aspects of these techniques. In one embodiment a phase lock loop (PLL) arrangement enables phase modulation and adjustment.

## BACKGROUND TO THE INVENTION

10 Mobile communication systems require high frequency power amplifiers for both base station transmitters and portable units carried by users. These amplifiers operate most efficiently at saturation in the non-linear range of their input/output characteristics. Efficiency is important for battery life and weight in the portable units while linearity is important for base stations with multiple carrier transmission. A number of techniques have been developed to compensate for non-linear amplifier operation. Techniques involving modulation feedback from the amplified signal can be divided in two groups depending on how the modulating signal is represented in the baseband. Cartesian amplification systems apply a feedback signal to quadrature components of the modulating signal. Polar loop amplification systems are based on EER techniques with addition of envelope and phase feedback arrangements. The phase feedback forms a PLL although envelope feedback alone may be used.

## SUMMARY OF THE INVENTION

25 It is an object of the present invention to provide for improved amplification systems based on EER techniques. In general terms the invention may use Cartesian feedback and/or predistortion feedback in these techniques for linearisation. In one embodiment the invention implements a PLL with phase modulation by way of a fractional-N divider.

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Figure 3 shows one embodiment of the system with Cartesian feedback,

Figure 4 shows another embodiment of the system with feedback for predistortion.

Figure 5 shows an alternative embodiment of the system with feedback for predistortion,

Figure 6 shows another embodiment with phase modulation by way of a phase lock loop,

5 Figure 7 shows a PLL arrangement for use in the system of Figure 6,

Figure 8 shows an alternative embodiment using a phase lock loop,

Figure 9 shows a PLL arrangement for use in the system of Figure 8,

Figure 10 shows a digital envelope feedback arrangement,

Figure 11 shows an analog envelope feedback arrangement.

10 Figures 12, 13, 14 show amplitude modulators in more detail, and

Figure 15 shows a phase modulation arrangement.

#### DETAILED DESCRIPTION OF PREFERRED EMBODIMENTS

15 Referring to the drawings it will be appreciated that the invention may be implemented in various forms and that these embodiments are described by way of example only. Details of existing mobile communication systems will also be known to a skilled reader and need not be given here.

20 Figure 1 shows EER implemented in a traditional polar loop system. An incoming RF signal I is converted by analog block 10 into polar signals  $\Theta$ , r respectively containing phase and envelope information. A phase controlled loop including power amplifier 11 operating in saturation then generates an output signal S according to the information, for transmission by antenna 12. The phase controlled  
25 loop forms a PLL which receives signal  $\Theta$  and provides a constant amplitude signal to the non-linear amplifier. A power supply to the amplifier receives signal r and thereby controls gain of the amplifier to restore envelope information and produce signal S. The PLL includes a phase comparator or detector 13 which compares the phases of signal  $\Theta$  and feedback from signal S to determine the frequency of a  
30 voltage controlled oscillator 14. The oscillator in turn provides the constant amplitude signal to the amplifier. Signal r is also modified by addition in block 15 of feedback from signal S. The feedback arrangement includes an optional frequency downconverter 16 followed alternatively for signals  $\Theta$ , r by an amplitude limiter 17 and envelope detector 18.

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Figure 2 gives a schematic overview of the invention in a very general form. A digital sub-system or processor arrangement 20, such as a DSP, determines phase and envelope signals P and E from an incoming signal B. A power amplifier 21 generates an output signal S which contains B modulated on a radio frequency carrier. A phase modulator 22 such as a PLL or quadrature modulator forms a phase modulation path which feeds the amplifier, although in some cases the amplifier may be part of the modulator. An envelope modulation path varies the amplifier gain by way of a modulator 23, which may vary a power supply to one stage of the amplifier for example. The phase and envelope signals P and E may include several components such as predistortion signals as indicated below. A feedback path from the output of the amplifier to the digital sub-system may take many forms, preferably a Cartesian loop which combines with quadrature signals in the digital sub-system. Feedback arrangement 24 may include a range of process components such as an analog detector at the output of the amplifier, an analog-to-digital converter (ADC) for single or quadrature signals from the detector, and other specialised components such as an optimiser for predistortion.

Figure 3 shows one embodiment with several components of the digital sub-system in Figure 2. Baseband signal B is converted to quadrature signals I, Q which are input to a phase extraction process 30 which in turn provides a phase signal for the modulator 22, and input to an envelope detector 31 which provides an envelope signal for the modulator 23. Feedback from the amplifier 21 is processed by a detector 34, ADC 35 and further digital processing stage 36 as may be required before addition to the quadrature signals I, Q at combiners 37, 38. The feedback arrangement therefore forms a Cartesian loop which tends to suppress imperfections in modulation of the amplifier and generally to linearise the amplification process. The loop may be partly or fully analog. Baseband sampling, or low or high intermediate frequency sub-sampling may be used in a partly digital Cartesian loop.

Figures 4 and 5 are other embodiments of Figure 2 involving adaptive predistortion of the quadrature signals I, Q. They also incorporate a feedback arrangement which may or may not be a Cartesian loop such as shown in Figure 3. One advantage of predistortion without a Cartesian loop is the increased stability provided by an open rather than closed loop system. In Figure 4 a digital predistorter 40 determines a

Figure 7 shows a PLL arrangement having a frequency divider which could be used in the embodiment of Figure 6. The arrangement produces an output signal having a frequency which is an integer or fractional multiple of a reference signal and which is modulated according to the phase signal P. A voltage controlled oscillator 70 receives a control signal from phase comparator 71 by way of loop filter 72, and produces a constant amplitude output for the amplifier 21. The loop filter generally integrates an output provided by the comparator according to phase differences between a reference signal from frequency reference 73 and a feedback signal from the controlled oscillator. A phase offset may be introduced between the reference and feedback signals by signal O from the digital sub-system 20, according to feedback from amplifier 21. This may control the action of an additional current source or sink at the input to the loop filter, for example. A frequency divider 74 under control of a modulator 75 introduces phase signal P from the digital sub-system. The modulator is preferably a sigma-delta arrangement which determines

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an instantaneous integer value N for the divider in accord with a clock signal from the output of the divider. Signal P forms a digital control word for the modulator.

Figure 8 shows another embodiment of an amplification system based on EER according to the invention. The arrangement is generally similar to that of Figure 6 except that some or all of the stages represented by amplifier 21 and fed by PLL 60 are now included within PLL 90, such as shown in Figure 9. This has an advantage that AM-PM phase errors caused by the amplifier stages are inherently corrected, so that there may be less requirement for a phase adjustment by offset signal O to compensate distortion. The signal may still be required to equalise discrepancies between the phase and envelope modulation paths. Coarse adjustment by a full cycle of the digital sampling period might still be required. On the other hand delay around the loop may be increased with loss of stability and possibly smaller bandwidth. Inclusion of amplification stages introduces additional delay in the loop. The gain and therefore bandwidth must be reduced to maintain stability.

Figure 9 shows a PLL arrangement having a frequency divider which could be used in the embodiment of Figure 8. The arrangement is generally similar to that of Figure 7 except that power amplifier stages 91 being some or all stages of the amplifier 21 in Figure 7, are included in the loop. Envelope information from the digital sub-system 22 is used to modulate the gain of the amplifier stages by way of signal E as before. A limiter 72 is also included to remove the envelope information from signal S before input to the divider 74. The limiter may form part of the input circuitry of the dividers, such as a high gain differential input of the kind found in pre-scalers commonly used in frequency synthesisers.

Figures 10 and 11 show digital and analog systems for obtaining envelope feedback from the power amplifiers 21 or 71 to determine a signal F for the digital sub-system 20. Digital feedback generally requires an envelope detector 100 which may be implemented in many ways. ADC 101 and DAC 102 are also generally required. Typically the amplitude modulator is a switching type to which the digital signal is directly applied. A combination function 105 of the feedback information with envelope information from the incoming signal B may then be used to form signal E for modulation of the amplifier. Analog feedback also requires an envelope

Figure 15 show two alternative feedback paths which might be used to linearise the phase modulator 22 of Figure 2. The degree of linearity is generally required to match the AM-PM of the power amplifier 21. Either one or two drivers 151 of the amplifier may be encompassed in feedback. A limiter 150 is typically required in the latter case to remove amplitude modulation.



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CLAIMS:

1. An amplification system for a radio transmitter comprising:

5 a processing subsystem which determines envelope information and phase information from a baseband input signal,

a phase modulator which generates a substantially constant amplitude signal having phase determined by the phase information,

an envelope modulator which generates an amplitude modulation signal determined by the envelope information, and

10 an amplifier which generates an output signal from the constant amplitude signal, and the amplitude modulation signal,

wherein the phase modulator includes a phase-lock-loop or a quadrature modulator, and the phase-lock-loop includes a frequency divider which is modulated according to the phase information.

15 2. A system according to claim 1 wherein:

the envelope modulator includes a pulse width modulator or a sigma delta modulator.

20 3. A system according to claim 1 wherein:

the frequency divider is modulated by a sigma-delta modulator which is controlled by the processing subsystem.

4. A system according to claim 1 wherein:

25 the processing subsystem modifies the envelope information according to Cartesian feedback from the output signal from the amplifier.

5 A system according to claim 1 wherein:

30 the processing subsystem modifies the phase information according to Cartesian feedback from the output signal from the amplifier.

6. A system according to claim 1 wherein:

the processing subsystem predistorts the phase modulation of the output signal according to the envelope information and feedback from the output signal.

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7. A system according to claim 1 wherein:  
the processing subsystem predistorts the phase modulation of the output signal by  
modifying the phase information.

5 8. A system according to claim 1 wherein:  
the amplifier is part of the phase modulator.

(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property Organization  
International Bureau



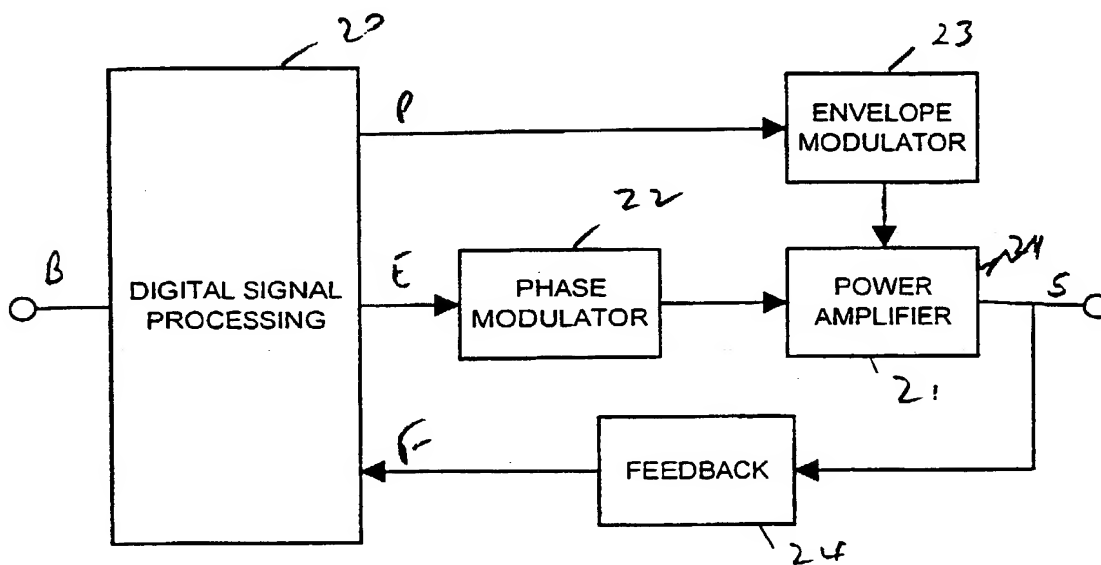
(43) International Publication Date  
5 April 2001 (05.04.2001)

PCT

(10) International Publication Number  
**WO 01/24356 A1**

- (51) International Patent Classification<sup>7</sup>: H03C 5/00, H04L 27/34
- (21) International Application Number: PCT/NZ00/00189
- (22) International Filing Date:  
29 September 2000 (29.09.2000)
- (25) Filing Language: English
- (26) Publication Language: English
- (30) Priority Data:  
338097 29 September 1999 (29.09.1999) NZ
- (71) Applicant (for all designated States except US): **TAIT ELECTRONICS LIMITED [NZ/NZ]**; 558 Wairakei Road, Burnside, Christchurch (NZ).
- (72) Inventor; and
- (75) Inventor/Applicant (for US only): **MANN, Stephen, Ian [NZ/GB]**; Tait Electronics Limited, 558 Wairakei Road, Burnside, Christchurch (NZ).
- (81) Designated States (*national*): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CR, CU, CZ, DE, DK, DM, DZ, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW.
- (84) Designated States (*regional*): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).
- Published:  
— With international search report.
- For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: IMPROVEMENTS RELATING TO EER TRANSMITTERS



(57) Abstract: Amplification systems based on EER techniques, generally using digital methods to determine envelope and phase information. Cartesian or predistortion feedback is preferably used to improve a range of characteristics. Envelope modulation may be implemented in various ways such as a sigma delta modulator. Phase modulation may also be implemented in various ways such as a fractional N phase lock loop.

WO 01/24356 A1

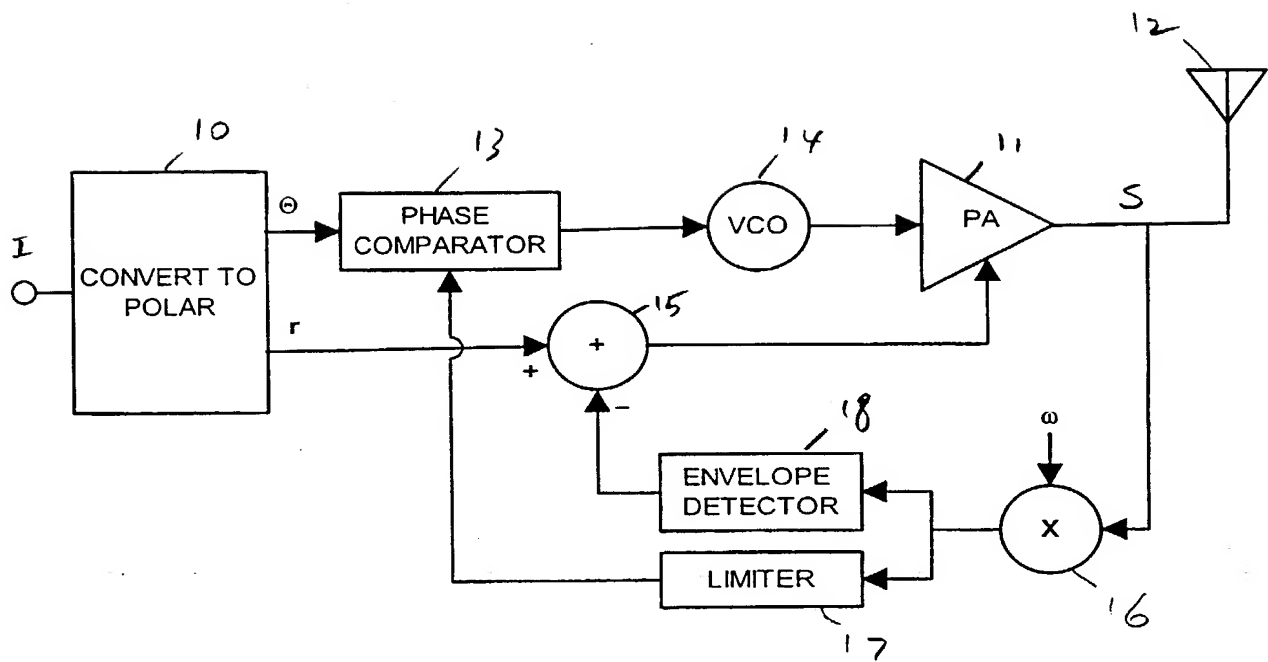


FIGURE 1

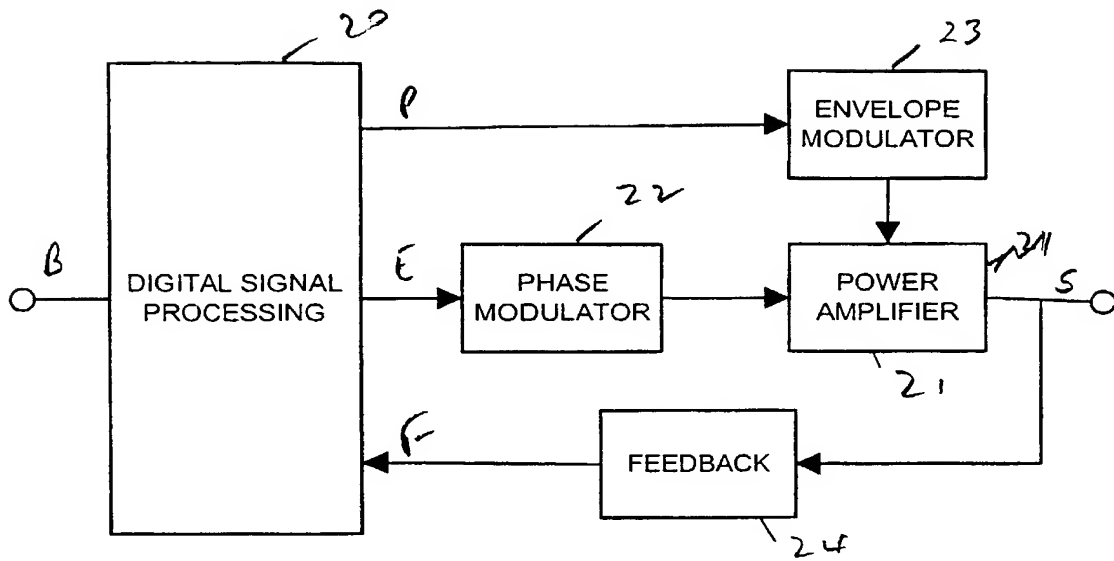


FIGURE 2

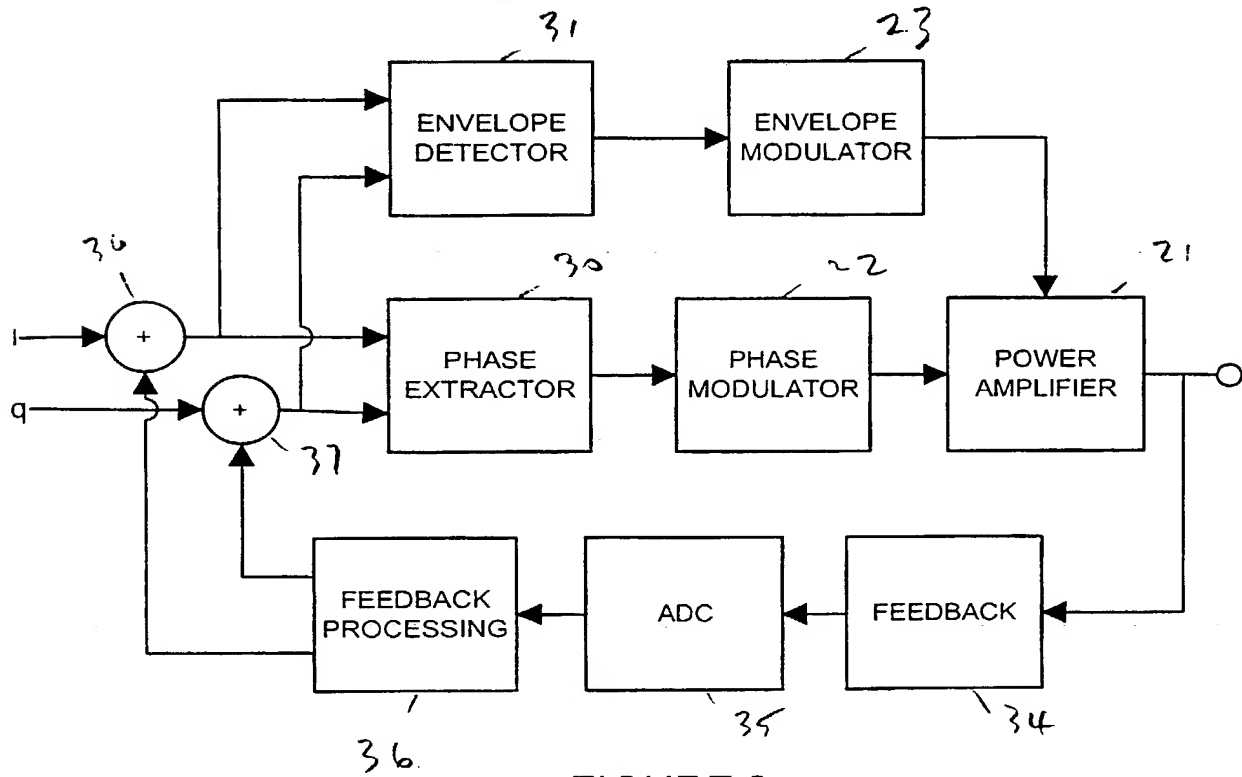


FIGURE 3

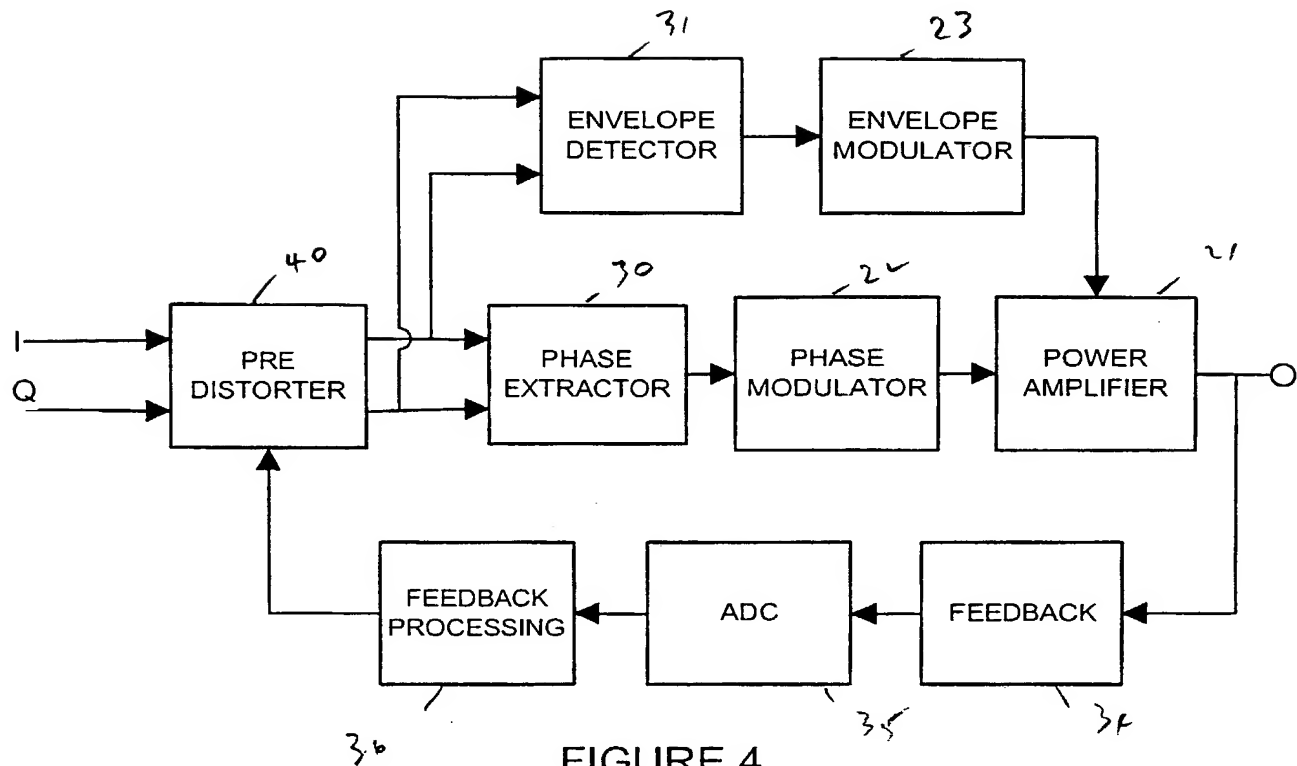


FIGURE 4

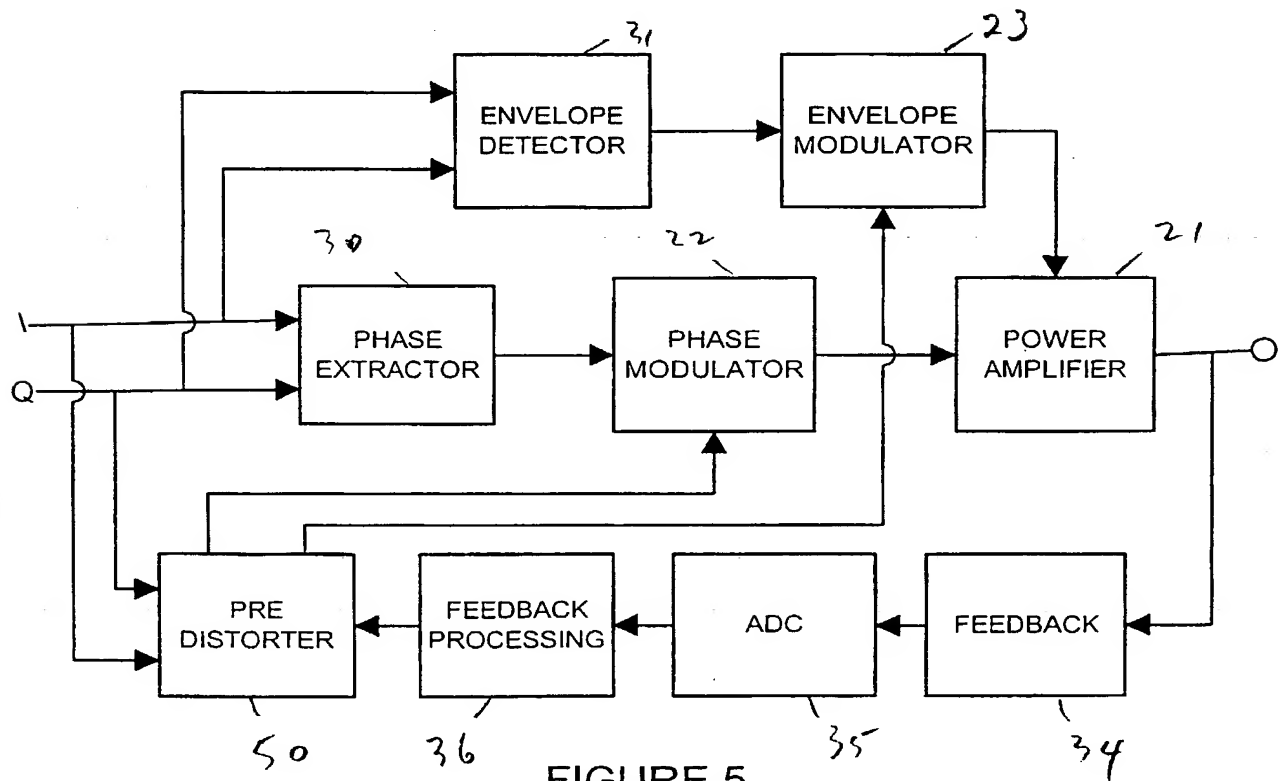


FIGURE 5

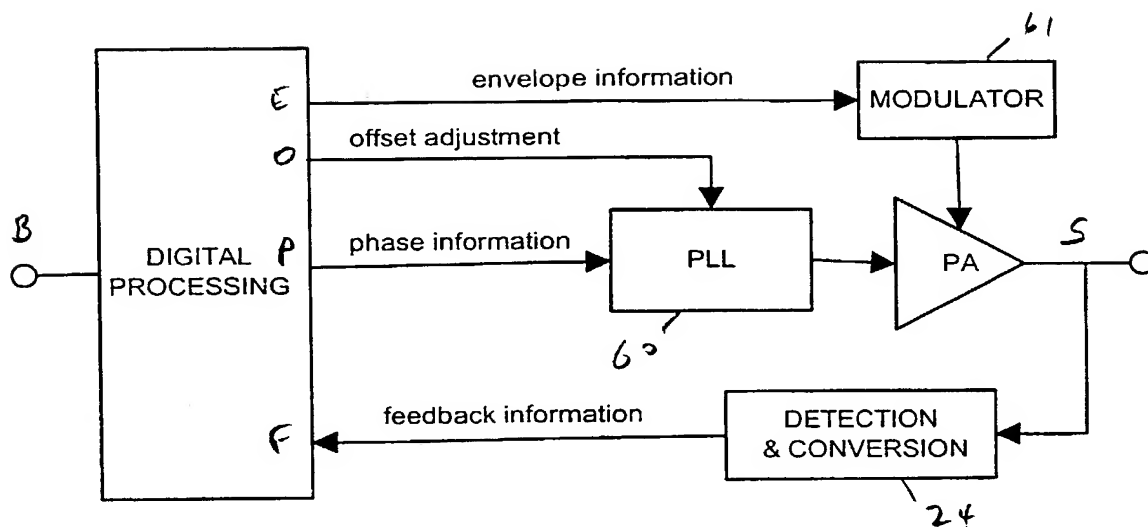


FIGURE 6

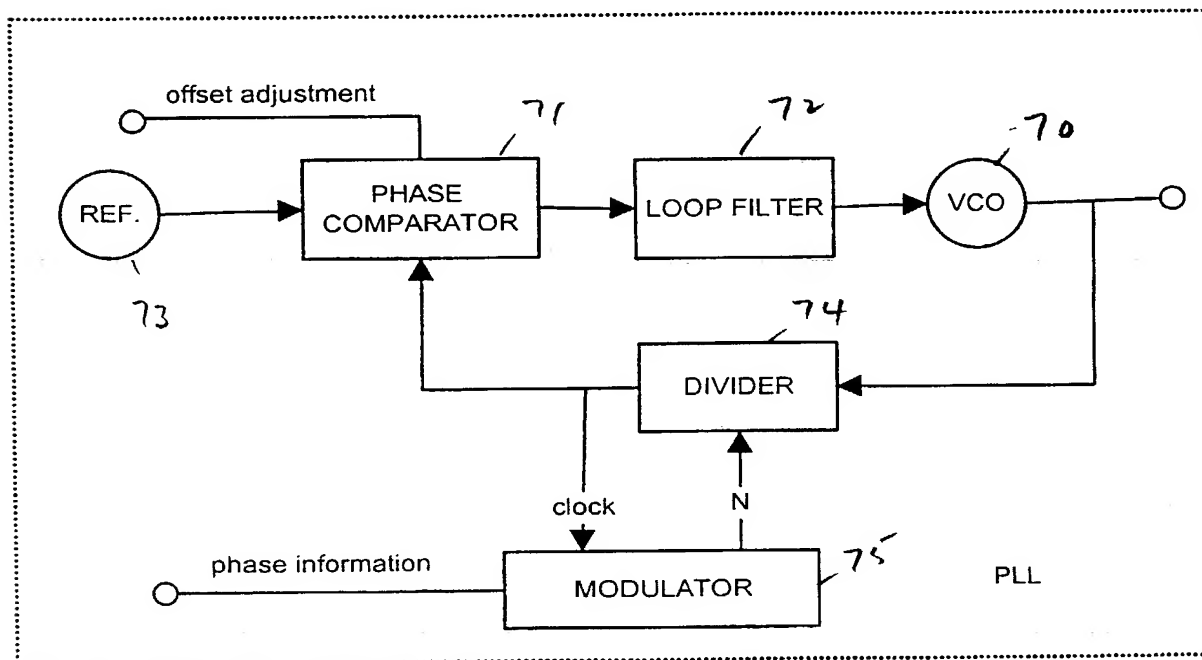


FIGURE 7

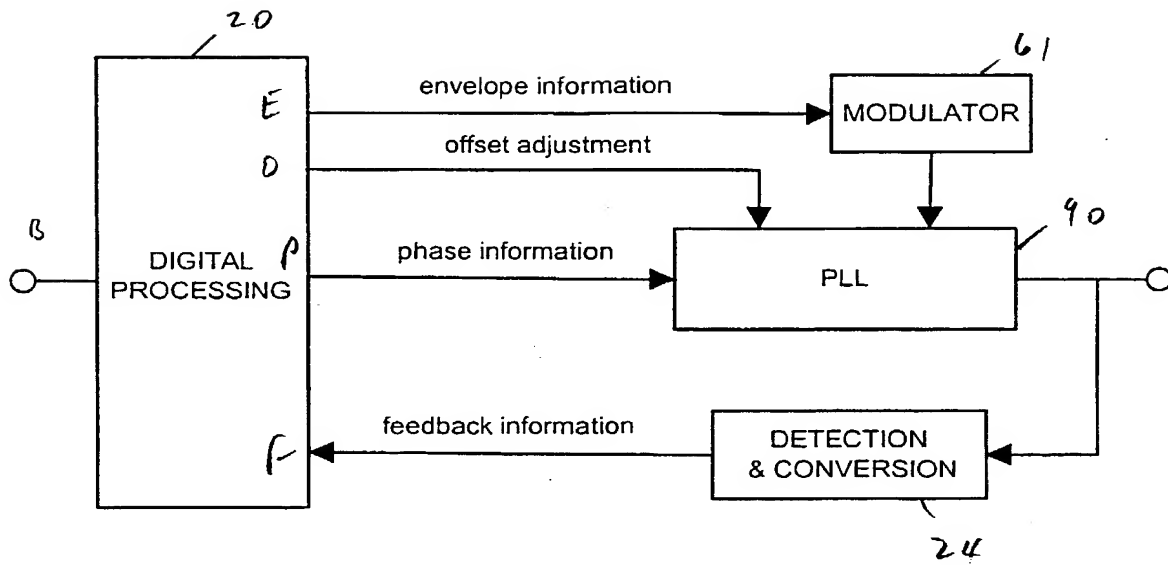


FIGURE 8

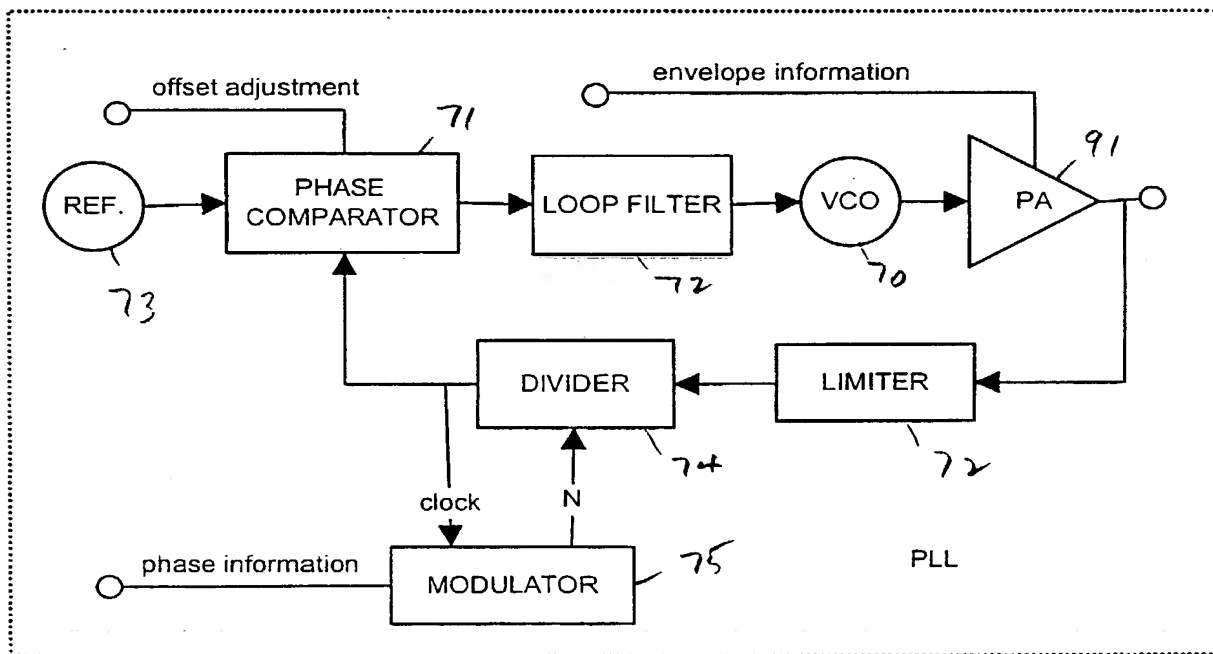
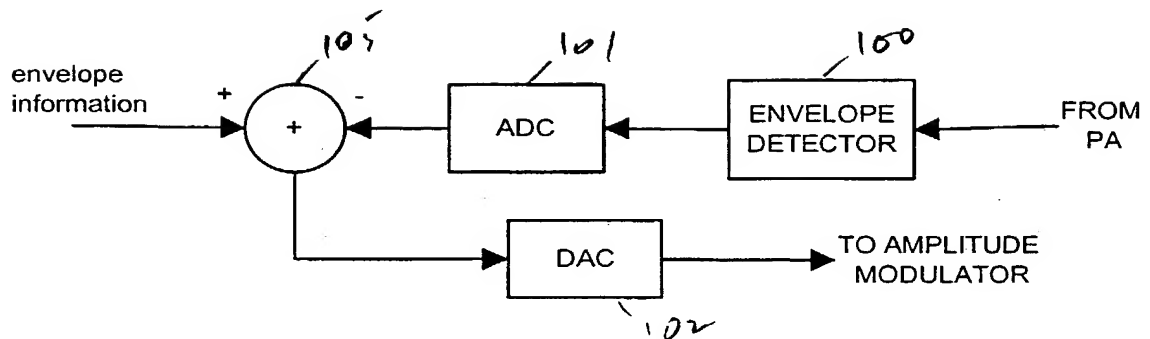
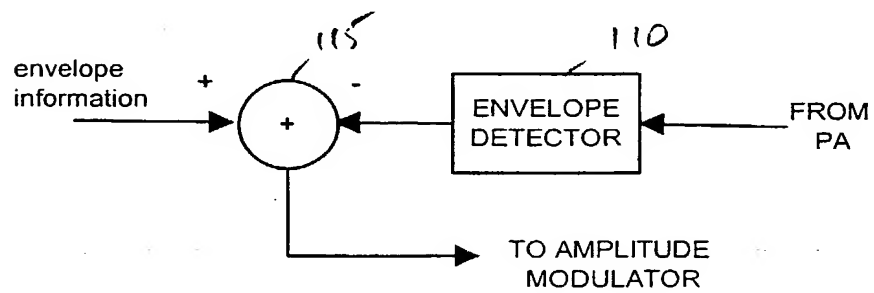


FIGURE 9



FIGURE 10FIGURE 11

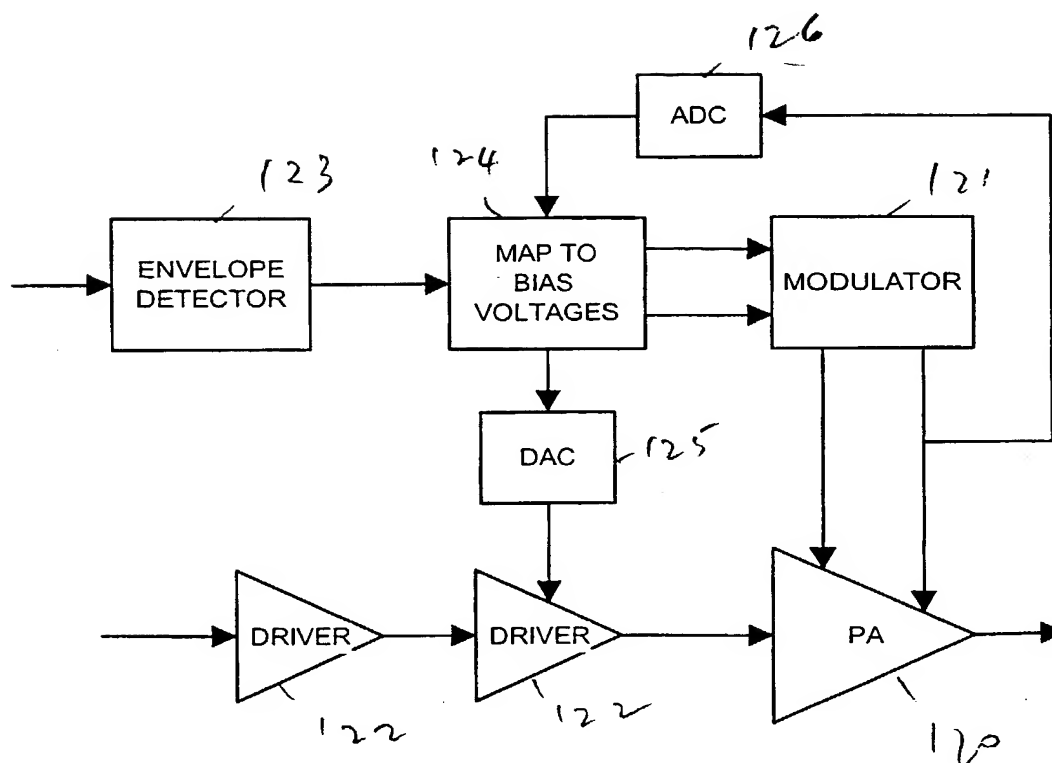
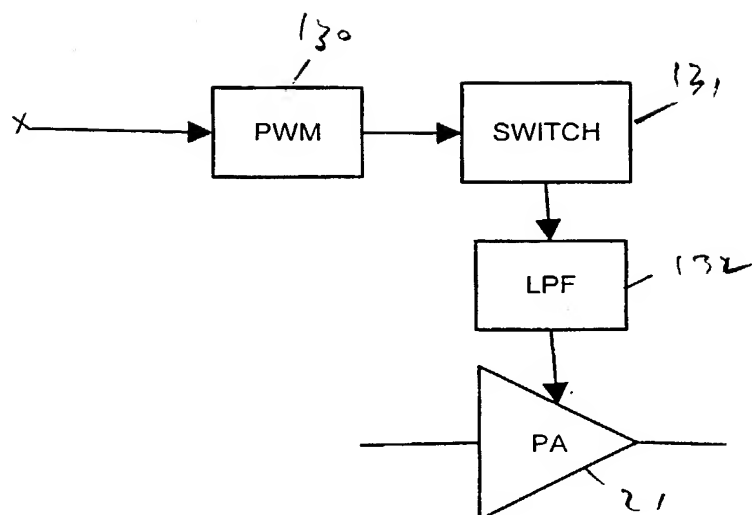
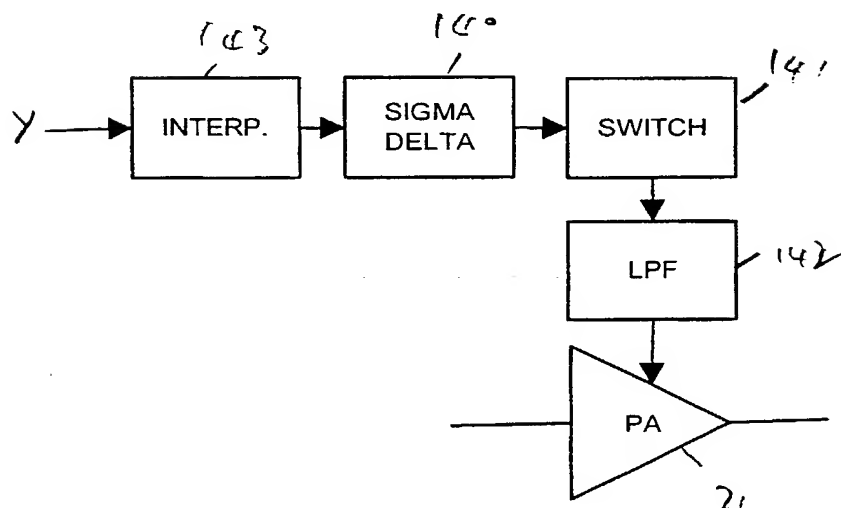
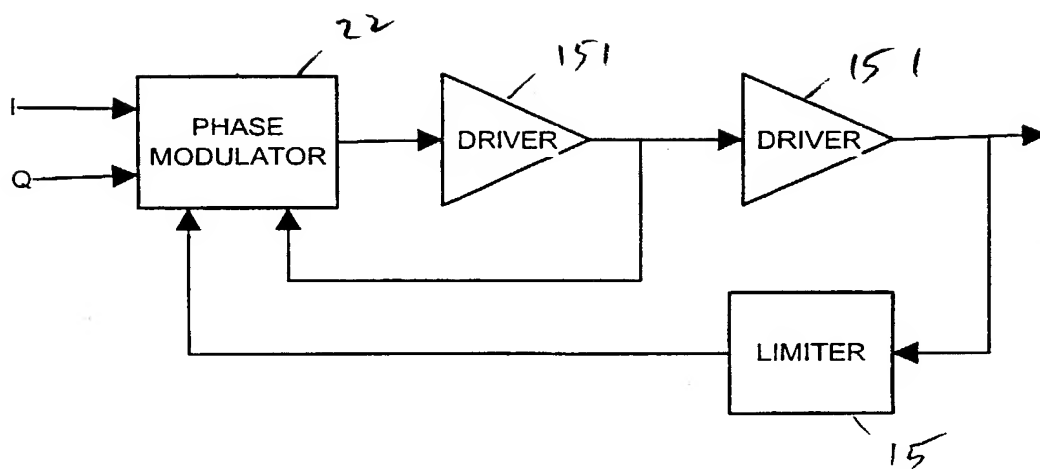


FIGURE 12

FIGURE 13FIGURE 14

FIGURE 15

## Declaration for Patent Application

Docket Number: 2068.0030000

As a below named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled: **Improvements Relating to EER Transmitters,**

the specification of which is attached hereto unless the following box is checked:

- ☒ was filed as United States Appl. No. 10/089,517 (which is the U.S. National Stage of PCT/NZ00/00189, international filing date: September 29, 2000).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56, including for continuation-in-part applications, material information that became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or (f), or § 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or § 365(a) of any PCT international application, which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

338097  
(Application No.)

New Zealand  
(Country)

29/09/1999  
(Day/Month/Year Filed)

☒ Yes ☐ No

PCT/NZ00/00189  
(Application No.)

PCT  
(Country)

29/09/2000  
(Day/Month/Year Filed)

☒ Yes ☐ No

Send Correspondence to:

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1100 New York Avenue, N.W.  
Suite-600  
Washington, D.C. 20005-3934

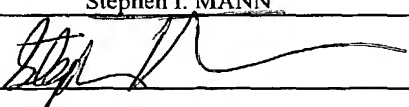
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(202) 371-2600

Appl. No. 10/089,517  
Docket No. 2068.0030000

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

1-00

Full name of sole or first inventor	Stephen I. MANN	
Signature of sole or first inventor		Date 18/3/03
Residence	Christchurch, New Zealand	NZX
Citizenship	New Zealand	
Mailing Address	c/o Tait Electronics Limited 558 Wairakei Road, Burnside	
	Christchurch, New Zealand	